

UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION IX
75 Hawthorne Street
San Francisco, CA 94105

OVERVIEW INFORMATION

DATE: November 15, 2004

FEDERAL AGENCY: U.S. Environmental Protection Agency (EPA), Region 9

FUNDING OPPORTUNITY: FY 2005 Tribal Water Pollution Control Program Grants--Clean Water Act Section 106 (CWA §106)

ANNOUNCEMENT TYPE: Initial Announcement

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: 66.419

Table of Contents

I.	Funding Opportunity Description	2
II.	Award Information	2
III.	Eligibility Information	2
IV.	Application and Submission Information	3
V.	Application Review Information	4
VI.	Award Administration Information	5
VII.	Agency Contacts	6
VIII.	Other Information & Attachments	8

FULL TEXT OF ANNOUNCEMENT

I. Funding Opportunity Description

The U.S. Environmental Protection Agency (EPA), Region 9 is now accepting Federal Fiscal Year 2005 (FY05) Clean Water Act Section 106 (CWA §106) Water Pollution Control Program grant proposals. The purpose of the Water Pollution Control Program is to assist Federally-recognized Indian Tribes with achieving environmental results by developing institutional capacity to administer water pollution control programs and to protect, improve, and enhance natural resources. The eligible activities include, but are not limited to:

- Hiring qualified staff to identify and prioritize water quality issues;
- Performing water quality monitoring and assessments;
- Conducting studies related to water pollution control;
- Leasing/renting office space and purchasing equipment necessary for program implementation;
- Developing Tribal water quality standards;
- Implementing and enforcing pollution control measures;
- Developing and implementing ground water programs;
- Developing a Nonpoint Assessment and Management Program
- Developing a 305(b) report;
- Training and travel.

II. Award Information

Region 9 will allocate approximately \$7.2 million¹ to support CWA §106 tribal programs. This funding will allow EPA to award grants between \$40,000-\$200,000; first-time eligible applicants may receive grants for \$40,000.

III. Eligibility Information

A. Eligible Applicants

Federally recognized Indian Tribes that meet and are approved for CWA §106 Financial Assistance Eligibility (FAE) criteria.

First Time Applicants: Tribes that have never received funding under CWA §106 must first establish Financial Assistance Eligibility (FAE) with EPA (also known as Treatment As a State–TAS), as described in the *Clean Water Act Water Quality Planning and Management Financial Assistance Eligibility Handbook for Indian Tribes* (FAE handbook). To meet eligibility requirements, a Tribe must: (1) be Federally recognized; (2) demonstrate that it has substantial governmental duties; (3) demonstrate that the tribe has the legal authority or jurisdiction to carry out the activities proposed in the grant application; and (4) be capable of carrying out functions to be exercised in a manner consistent with the terms and purposes of the Clean Water Act and all applicable regulations.

Contact Susan Chiu at (415) 972-3674 to request a grant application kit, FAE handbook, and for questions relating to administrative or fiscal matters (i.e., completion of EPA grant application).
Contact appropriate Water Division staff (see Section VII *Agency Contacts*) for questions relating to completion of the FAE handbook or to the CWA §106 program.

¹ Pending passage of EPA's FY2005 budget appropriation.

B. Cost Sharing or Matching

A Tribal match requirement of 5% of the total project costs must be reflected in the application, work plan and budget (see *Attachment 2* for information regarding required 5% match and calculation formula).

IV. Application and Submission Information

A. Request Application Kit

The application kit has been recently updated (November 2003) to reflect new requirements. All previous application kits are obsolete and should be discarded. Applicants for continued funding will receive an updated application kit with this solicitation. If you are a first-time grant applicant, updated application kits should be obtained by contacting Susan Chiu at (415) 972-3674 or by email at chiu.susan@epa.gov.

Application kits can be downloaded from the U.S. EPA Region 9 website:

<http://www.epa.gov/region09/funding/applying.html>

double click on EPA Region 9 Application Kit - Regular Award

B. Content and Form of Application Submission

A DRAFT detailed workplan and budget describing how the requested CWA §106 funds will be used and which sets forth the basis for the management and evaluation of performance under the proposal (for sample workplans, see *Attachment 1*). The workplan should include:

- for each environmental goal or objective, the desired environmental result, specific descriptive tasks to be conducted toward the achievement of the goals or objectives and results;
- estimated workyears and estimated funding amounts for each workplan task;
- commitments, deliverables, work products, etc., for each workplan task and a schedule (include interim and final dates and milestones) for the accomplishment of each, and submittal to EPA;
- a Tribal match requirement of 5% of the total project costs must be reflected in the workplan and budget).

Note: Applicants for continued funding should contact their current EPA project Officer for assistance with developing workplans and budgets; questions relating to administrative or fiscal matters should be directed to your current EPA grants specialist. (See *Section VII Agency Contacts*).

Pursuant to EPA's review of draft workplans, applicants shall be requested to submit a FINAL grant application (i.e., SF424, workplan, budget, and required forms/certifications, as provided in the application kit).

NOTE: Grant applicants are required to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements on or after October 1, 2003. (See *Attachment 3* for instructions on how to obtain a DUNS number.)

C. Submission Dates and Times

SUBMISSION DATES	ADDRESS
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DRAFT workplan and budget	<i>POSTMARKED</i> by February 2, 2005	U.S. EPA, Region 9 Water Division (WTR-10) 75 Hawthorne St. San Francisco, CA 94105
First-Time Applicants MUST submit a complete Financial Assistance Eligibility (FAE) application to be reviewed and approved by EPA prior to receiving CWA §106 funding.	<i>POSTMARKED</i> by March 4, 2005	
FINAL grant application	<i>POSTMARKED</i> by March 31, 2005	U.S. EPA, Region 9 Grants Management Office (PMD-7) 75 Hawthorne St. San Francisco, CA 94105

D. Funding Restrictions

Funding is limited to only Federally recognized Indian Tribes in Region 9 that meet and are approved by EPA, Region 9 for CWA §106 Financial Assistance Eligibility (FAE) criteria.

V. Application Review Information

Evaluation criteria used by EPA, Region 9 to determine the allocation of CWA §106 funds are as follows:

Amount of CWA §106 funds allocated to Region 9
Number of applicants for the fiscal year
Consideration of a base level of funding particularly for the smaller Tribes (i.e., the National formula established a base for funding EPA Regions.)
Environmental issues to be addressed and desired environmental results by the Tribe (e.g., public health and water quality)
Previous year's performance
Carry-over funding (continuing recipients)
Maintaining continuity of existing programs
Implementation of Agency and Regional priorities
Ability of the application/work plan to be funded in segments over a multi-year period
Consideration of what it costs to get the job done in a particular area
Costs of in-house staff vs. consultants
Population/Land Area/Water Area
Assessment of on-going capability and readiness to implement programs

VI. Award Administration Information

A. Award Notices

Assigned EPA Region 9 projects officers (see Section VII *Agency Contacts*) will notify Tribes of the final funding decisions by September 30, 2005.

B. Administrative and National Policy Requirements

Regulations governing the award and administration of Water Pollution Control Grant Agreements: 40 CFR Part 31 (Uniform Administrative Requirements for Grants and Cooperative Agreements for State and Local Governments) and 40 CFR Part 35 Subpart B (Environmental Program Grants for Tribes)

Disputes: Procedures at 40 CFR 31.70 will apply.

Confidentiality: Applicants must clearly mark information they consider confidential and EPA will make confidentiality decisions in accordance with Agency Regulations at 40 CFR, Part 2, Subpart B.

EPA Reserves the right to reject all proposals and to not make any awards.

C. Reporting

Quarterly project status reports and annual Financial Status Reports will be required.

- **Quarterly reports to self-evaluate & to joint-evaluate annual performance under the grant, including (1) status of each work plan goal, task, deliverable; (2) status of expenditures for the reporting period; (3) summary of accomplishments including the reporting of environmental results & discussion of problems impacting or expected to impact performance; (4) tasks not on schedule & proposed dates of completion; and (5) any other information that will provide the EPA Project Officer with information about program status.**
- **The annual Financial Status Report must accurately account for all federal and non-federal funds expended, and identify appropriate use of funds (i.e., allowable and eligible under the program).**

VII. Agency Contacts

PROJECT OFFICERS * / TRIBAL CONTACTS	
U.S. EPA, R9 WATER DIVISION (WTR-10) WATER POLLUTION CONTROL PROGRAM (CWA §106)	
PROJECT OFFICERS	TRIBES
Danielle Angeles (415) 972-3441 (415) 947-3537 (fax) angeles,danielle@epa.gov	<u>No. California</u> : Elem, Kashia–Stewarts Point, Manchester Pt. Arena, Middletown, Pit River, Round Valley, Shingle Springs, Trinidad Rancheria
Tiffany Eastman (to contact this person, you must dial 1-800-735-2922 for an operator to assist you with your call) (415) 972-3404 (415) 947-3537 (fax) eastman.tiffany@epa.gov	<u>Central California</u> : Big Pine, Big Sandy, Bishop (PPG), Chemehuevi, Cold Springs, Ft. Independence, Lone Pine, Owens Valley Water Commission, Picayune, Santa Rosa Rancheria, Table Mountain, Timbisha, Tule River <u>Nevada</u> : Fallon, Moapa, Pyramid Lake (PPG), Washoe <u>Arizona</u> : CRIT, Ft. Mojave, Kaibab <i>Central CA. Contact for 1st Time Applicants</i>
Jenée Gavette (415) 972-3439 (415) 947-3537 (fax) gavette.jenee@epa.gov	<u>Arizona</u> : Ft. McDowell, Gila River, Salt River (PPG), Yavapai-Prescott, <u>So. California</u> : Campo, Cuyapaipe, La Jolla, Torres-Martinez <i>So. CA Contact for 1st Time Applicants</i>
Janis Gomes (415) 972-3517 (415) 947-3537 (fax) gomes.janis@epa.gov	<u>So. California</u> : Cahuilla, Jamul, La Posta, Los Coyotes, Manzanita, Mesa Grande, Pala (PPG), Pauma, Pechanga, Ramona Band, San Pasqual, Santa Rosa Band, Santa Ynez, Soboba (PPG) <u>No. California</u> : Coyote Valley PPG), Karuk (PPG), Quartz Valley, Smith River, Trinidad <u>Nevada</u> : Goshute, South Fork, <i>Northern CA Contact for 1st Time Applicants</i>
Roccena Lawatch (415) 972-3442 (415) 972-3537 (fax) lawatch.roccena@epa.gov	<u>No. California</u> : Bear River (PPG), Big Lagoon, Blue Lake, Table Bluff (PPG) <u>So. California</u> : Agua Caliente, Augustine, Cabazon, Morongo (PPG), San Manuel (PPG), Twenty-Nine Palms
Wendell Smith (415) 972-3421 (415) 947-3537 (fax) smith.wendell@epa.gov	<u>No. California</u> : Cortina <u>Arizona</u> : Havasupai, Hopi (PPG), Hualapai (PPG), Navajo Nation (PPG), <u>Nevada</u> : Yomba
Loretta Vanegas (415) 972-3433 (415) 947-3537 (fax) vanegas.loretta@epa.gov	<u>Arizona</u> : Ak-Chin, Cocopah, Quechan, San Carlos, Tohono O'odham Nation, White Mountain Apache <u>No. California</u> : Hoopa Valley (PPG), Resighini, Yurok (PPG) <u>So. California</u> : Rincon <i>AZ Contact for 1st Time Applicants</i>
Jared Vollmer (415) 972-3447 (415) 947-3537 vollmer.jared@epa.gov	<u>No. California</u> : Big Valley, Cahto, Dry Creek, Hopland, Robinson Rancheria, Sherwood Valley, Smith River, Susanville <u>Nevada</u> : Summit Lake, Yerrington <i>NV Contact for 1st Time Applicants</i>
Stephanie Wilson (775) 885-6190 (775) 885-6147 (fax) wilson.stephanie@epa.gov Nevada Office	<u>Nevada</u> : Walker River, Duck Valley

*Contact for questions relating to completion of the FAE handbook, workplans, or to the CWA §106 program.

GRANTS SPECIALISTS * / TRIBAL CONTACTS

U.S. EPA, R9 GRANTS MANAGEMENT OFFICE (PMD-7) WATER POLLUTION CONTROL PROGRAM (CWA §106)

GRANTS SPECIALISTS	TRIBES
Alba Espitia (415)972-3667 espitia.alba@epa.gov	<u>California</u> : Big Sandy, Cuyapaipe, San Manuel, Yurok <u>Arizona</u> : Ft. Mojave, Navajo
Cheryl Filart (415)972-3676 filart.cheryl@epa.gov	<u>California</u> : Big Lagoon, Blue Lake, Dry Creek, Resighini, Sherwood Valley, Table Bluff, Trinidad
Carolyn Truong (415)972-3757 truong.carolyn@epa.gov	<u>California</u> : Cortina, Elem, Fort Independence, Robinson Rancheria, South Fork
Elizabeth Stahl (415)972-3662 stahl.elizabeth@epa.gov	<u>California</u> : Big Valley, Goshute, Coyote Valley, Hoopa Valley, Hopland, Middletown, Pit River, Round Valley, Smith River <u>Arizona</u> : Hopi
Fareed Ali (415)972-3665 ali.fareed@epa.gov	<u>Arizona</u> : Hualapai, San Carlos, White Mountain
Gwen Brown (415)972-3661 brown.gwenl@epa.gov	<u>California</u> : Bear River, Karuk, Lone Pine, Manzanita, Pauma, Santa Rosa Band, Santa Rosa Rancheria <u>Nevada</u> : Washoe, Yerrington, Yomba
Elizabeth Armour (Liz) (415)947-4264 armour.elizabeth@epa.gov	<u>Arizona</u> : Ft. McDowell, Havasupai, Kaibab, Salt River <u>California</u> : Cahto, Susanville
Lisa Meixner (415)972-3669 meixner.lisa@epa.gov	<u>California</u> : Big Pine, Bishop, Owens Valley, Picayune, Shingle Springs, Table Mountain, Tule River
Martha Villarreal (415)972-3666 villarreal.martha@epa.gov	<u>Arizona</u> : Gila River, Tohono O'odham, Yavapai-Prescott <u>California</u> : Kashia-Stewarts Point, Manchester Point Arena, Pala, Santa Ynez, Timbisha <u>Nevada</u> : Moapa
Renee Chan (415)972-3675 chan.renee@epa.gov	<u>Nevada</u> : Fallon, Summit Lake, Walker River
Susan Chiu (415)972-3674 chiu.susan@epa.gov	<u>California</u> : Agua Caliente, Augustine, Campo, La Jolla, La Posta, Los Coyotes, Mesa Grande, Morongo, Quechan, Soboba, Torres Martinez, 29 Palms
Cynthia Lee (Cyndi) (415)972-3201 lee.cynthia@epa.gov	<u>California</u> : Cabazon, Rincon, San Pasqual <u>Arizona</u> : Ak Chin, Cocopah, CRIT
Veronica Adams (415)972-3670 adams.veronica@epa.gov	<u>California</u> : Cold Springs, Jamul, Pyramid Lake, Ramona, Chemehuevi <u>Nevada</u> : Duck Valley, Duck Water

Fax number for all Grants Specialists: (415)947-3556

* Contacts for applicants with continued funding, for questions related to administrative or fiscal matters.

VIII. Other Information

A. Performance Partnership Grants (PPGs)

Tribes with two or more grants and consistently good performance may be eligible to apply for a Performance Partnership Grant (PPG). PPGs are formed by incorporating funds from at least two PPG-eligible EPA grants into a single PPG, which can decrease administrative burden and increase program flexibility. For those tribes interested in obtaining a Performance Partnership Grant (PPG), please contact your CWA Project Officer to discuss the possibility of obtaining a PPG for your Tribe. Tribes that currently have PPGs should contact your CWA Project Officer with any questions regarding their PPGs and this solicitation.

B. List of Attachments

- Attachment 1–Sample CWA §106 Workplans
- Attachment 2–Recipient’s Match
- Attachment 3--DUNS Number New Federal Grant Application Requirement as of October 1, 2003
- Attachment 4–Grant Resources on the Internet

THIS TRIBAL CWA §106 GRANT FUNDING OPPORTUNITY ANNOUNCEMENT COMPLIES WITH
OMB'S REQUIRED UNIFORM SOLICITATION FORMAT FOR FEDERAL ASSISTANCE AGREEMENTS

SAMPLE WORKPLAN –YEAR 1 WATER POLLUTION CONTROL PROGRAM (CWA §106)							
Work Plan Goals with Tasks and Environmental Results		Dates Start	Deliverables	Responsible Staff & Work Years		Estimated Cost*	Status
1	GOAL: Hire Staff to Assist with Developing & Performing Water Quality Assessments Task 1(a): Conduct request for proposal (RFP) Task 1(b): Finalize contract/hiring action ENVIRONMENTAL RESULT: To carry out the goals of the workplan & to establish future water quality goals.	10/01 11/30	<ul style="list-style-type: none"> • Include status of hire in quarterly report • Submit resume with quarterly report 	WQS AA	0.01 0.01	\$450	
2	GOAL: Assess quality of surface & groundwater to develop baseline status & for future planning purposes Task 2: Collect existing water quality data for water bodies (surface & ground water) on Tribal land ENVIRONMENTAL RESULTS: To describe the current quality of all surface & groundwaters so that future water quality trends can be identified & measured in order to ensure that water quality can be maintained and improved, as necessary.	12/01 6/30	<ul style="list-style-type: none"> • Submit to EPA Preliminary Water Q quality Data Assessment Report 	WQS E/H	0.23	\$13,350	
3	GOAL: Ensure integrity & accuracy in Tribal water quality monitoring efforts Task 3(a): Draft a Quality Assurance Program Plan (Q APP) in accordance with current EPA guidance Task 3(b): Finalize QAPP per EPA review & guidance ENVIRONMENTAL RESULT: To ensure scientifically valid results that meet acceptable EPA standards.	1/1 4/30 8/1 9/30	<ul style="list-style-type: none"> • Submit draft QAPP to EPA for review • Submit final QAPP to EPA for review & approval 	WQS E/H	0.1	\$14,200	
4	GOAL: Increase Tribal water quality staff's knowledge & skills regarding water quality & watersheds; attend: Task 4(a): Tribal/EPA Conference Task 4(b): EPA Tribal Nonpoint Source Pollution Workshop & Watershed 101: CWA Tools for Watershed Protection Task 4(c): water quality sampling workshop ENVIRONMENTAL RESULT: To increase staff knowledge, as demonstrated by staff preparation of "training results" report and "on-the-job" implementation.	October May June	<ul style="list-style-type: none"> • Include in quarterly reports, list of trainings, meetings, & workshops attended with dates, cost, & who attended 	WQS	0.05	\$3,750	

SAMPLE WORKPLAN –YEAR 1								
WATER POLLUTION CONTROL PROGRAM (CWA §106)								
Work Plan Goals with Tasks and Environmental Results			Dates Start	Deliverables	Responsible Staff & Work Years		Estimated Cost*	Status
5	GOAL: Educate Tribal Community on the importance of water quality & provide information on the quality of Tribe’s surface & ground water Task 5(a): develop water quality education/outreach program Task 5(b): hold public outreach meetings Task 5(c): quarterly newsletter ENVIRONMENTAL RESULT: Changes in awareness and understanding of the status of water quality and related issues, and in an effort to promote & implement pollution prevention, as demonstrated by direct participation in workshops, meetings, etc., & results of clean-up efforts.		10/01 12/31 semi-annually quarterly	<ul style="list-style-type: none">• Submit to EPA education & outreach program description• Include in quarterly reports a summary of public meetings, newsletter, & other activities	WQS AA H	0.12 0.04	\$7,500	
6	GOAL: Quarterly Reporting to self-evaluate & joint- evaluate annual performance under the grant, including: <ul style="list-style-type: none">• Status of each work plan goal, task, deliverable• Status of expenditures for reporting period• Summary of accomplishments including the reporting of environmental results & discussion of problems impacting or expected to impact performance• Tasks not on schedule & proposed dates of completion ENVIRONMENTAL RESULT: To evaluate and report on performance under the grant.		1/30 4/30 7/30 10/30	<ul style="list-style-type: none">• Quarterly Reports submitted to EPA	WQS	0.02	\$750	
(AA) Administrative Assistant \$10/hr (TP) Environmental Planner \$20/hr (WQS) Water Quality Specialist \$15/hr (ATTY) Attorney \$100/hr (WQT) Water Quality Technician \$13/hr (E/H) Engineer/Hydrologist \$100/hr					TOTAL COST		EPA \$40,000	MATCH \$2,105
This is a sample format only. Workplans may be prepared in either a chart or narrative format as long as the goals, tasks, and the related environmental results, deliverables, target dates, estimated cost, & responsible staff are clearly identified.					*This reflects the totals of all Costs for each task, including salary, fringe, equipment, contractual, supplies, travel, indirect, etc.			

SAMPLE WORKPLAN –YEAR 2
WATER POLLUTION CONTROL PROGRAM (CWA §106)

Work Plan Goals with Tasks and Environmental Results	Dates		Deliverables	Responsible Staff & Work Years		Estimated Cost *	Status
	Start	End					
1 GOAL: Determine & correct effects of NPS pollution on Tribal water quality Task 1: prepare NPS Assessment & Management Plan in accordance w/EPA's Tribal Nonpoint Source Planning Handbook ENVIRONMENTAL RESULTS: To assess the nature, cause, & effect of NPS pollution on Tribal water quality and to plan for its mitigation.	10/01	12/15	Submit to EPA for review & approval: • NPS Assessment Report • NPS Management Plan	WQS E/H	0.12	\$7,250	
2 GOAL: Become eligible to receive NPS grant funding to address NPS pollution Task 2: Apply for CWA§ 319 Financial Assistance Eligibility (FAE) ENVIRONMENTAL RESULTS: To assess the nature, cause, & effect of NPS pollution on Tribal water quality and to plan for its mitigation.	10/01	12/15	• Submit FAE application to EPA for review & approval	WQS ATTY	0.02	\$1,500	
3 GOAL: Develop & implement a water quality monitoring program in accordance with approved QAPP for ongoing assessment & evaluation of Tribe's water bodies Task 3(a): conduct monitoring Task 3(b): compile analytic results ENVIRONMENTAL RESULT: Track water quality trends to identify & prioritize problem pollutants & affected water bodies for corrective action, to measure pollutant reduction, and to maintain & evaluate overall water quality.	10/01	9/30	Submit to EPA: • Data & analysis reports • include EPA-approved equipment purchases in quarterly reports	WQS E/H	0.15	\$14,250	
4 GOAL: Complete baseline assessment of quality of surface & groundwater for use in future planning purposes Task 4(a): Finalize Water Quality Data Assessment Report ENVIRONMENTAL RESULT: To describe the current quality of all surface & groundwaters so that future water quality trends can be identified & measured in order to ensure that water quality can be maintained and improved, as necessary.	10/01	3/31	• Submit to EPA Final Water Quality Data Assessment Report	WQS E/H	0.01	\$6,500	
5 GOAL: Continue Tribal water quality staff's training (internet or self-paced) re: watersheds & source water protection Task 5(a): Source Water Protection (www.epa.gov/watertrain) Task 5(b): Principles of Watershed Management (www.epa.gov/watertrain) Task 5(c): Stream Corridor Restoration Tools (www.epa.gov/watertrain) ENVIRONMENTAL RESULT: To increase staff knowledge, as demonstrated by staff preparation of "training results" report and "on-the-job" implementation.	1/01 6/01 8/1	1/31 7/31 9/30	• Provide status & summary of training results in quarterly reports, along with dates, cost, & who participated	WQS	.04	\$2,250	

SAMPLE WORKPLAN –YEAR 2
WATER POLLUTION CONTROL PROGRAM (CWA §106)

Work Plan Goals with Tasks and Environmental Results			Dates		Deliverables	Responsible Staff & Work Years		Estimated Cost *	Status
	Start	End							
6	GOAL: Identify threats to ground water quality & corrective actions Task6(a): develop groundwater & wellhead protection plan ENVIRONMENTAL RESULT: To describe the current and potential threats groundwater quality, so that corrective actions can be identified & developed in order to ensure that groundwater quality can be protected, maintained, and improved, as necessary.		2/01 08/01	5/30 9/30	<ul style="list-style-type: none">• submit draft plan to EPA• submit final plan to EPA	WQS E/H	0.12	\$8,000	
7	GOAL: Continue implementation of the water quality education & outreach program for the Tribal Community Task 7(a): hold student workshops Task 7(b): hold public outreach meetings Task 7(c): quarterly newsletter ENVIRONMENTAL RESULT: Changes in awareness and understanding of the status of water quality and related issues, and in an effort to promote & implement pollution prevention, as demonstrated by direct participation in workshops, meetings, etc., & results of clean-up efforts.		semi-annually semi-annually quarterly		<ul style="list-style-type: none">• Include in quarterly reports a summary of public meetings, newsletter, workshops & other activities	WQS AA	0.12 0.04	\$7,500	
8	GOAL: Quarterly Reporting that evaluates performance under the grant, including: <ul style="list-style-type: none">• Status of each work plan goal, task, deliverable• Status of expenditures for reporting period• Summary of accomplishments including the reporting of environmental results & discussion of problems impacting or expected to impact performance• Tasks not on schedule & proposed dates of completion ENVIRONMENTAL RESULT: To evaluate and report on performance under the grant.		1/30 4/30 7/30 10/30		<ul style="list-style-type: none">• Quarterly Reports submitted to EPA	WQS	0.02	\$750	
(AA) Administrative Assistant \$10/hr (TP) Environmental Planner (ATTY)			\$20/hr			TOTAL COST		EPA \$48,000	MATCH \$2,525
(WQS) Water Quality Specialist \$15/hr (ATTY) Attorney			\$100/hr						
(WQT) Water Quality Technician \$13/hr (E/H) Engineer/Hydrologist			\$100/hr						
This is a sample format only. Workplans may be prepared in either a chart or narrative format as long as the goals, tasks, and the related environmental results, deliverables, target dates, estimated cost, & responsible staff are clearly identified.						*This reflects the totals of all Costs for each task , including salary, fringe, equipment, contractual, supplies, travel, indirect, etc.			

SAMPLE WORKPLAN –YEAR 3								
WATER POLLUTION CONTROL PROGRAM (CWA §106)								
Work Plan Goals with Tasks and Environmental Results		Dates Start End		Deliverables	Responsible Staff & Work Years		Estimated Cost *	Status
1	GOAL: Implement a water quality monitoring program in accordance with approved QAPP for ongoing assessment & evaluation of Tribe’s water bodies Task 1(a): conduct monitoring Task 1(b): compile analytic results ENVIRONMENTAL RESULT: Track water quality trends to identify & prioritize problem pollutants & affected water bodies for corrective action, to measure pollutant reduction, and to maintain and evaluate overall water quality.	10/01	9/30	<ul style="list-style-type: none">• Data & analysis reports• include EPA-approved equipment purchases in quarterly reports	WQS E/H	0.15	\$14,250	
2	GOAL: Prepare an assessment & analysis report on the quality of the Tribe’s surface water Task 2: draft a CWA 305(b) report per EPA’s Guidelines for Preparation of the Comprehensive Water Quality Assessments (305(b) Reports) ENVIRONMENTAL RESULT: To describe the quality of all surface waters, the extent to which the elimination of pollutants have or will improve water quality, to provide recommendations to ensure improvements are achieved, & the nature & extent of NPS pollution & recommendations for reduction.	2/01	9/30	<ul style="list-style-type: none">• submit draft 305(b) report to EPA	WQS E/H	0.12	\$9,000	
3	GOAL: Expand enforcement control measures & develop guidelines to protect water quality, as identified from water quality monitoring/analysis & groundwater/well head protection assessment & plan Task 4(a): Evaluate effectiveness of current codes & ordinances Task 4(b): Develop new ordinances/codes or revise existing ones Task 4(c): Present ordinances/codes to Tribal Council for adoption Task 4(d): Draft guidelines for dry well maintenance/closure Task 4(e): Finalize guidelines for dry well maintenance/closure ENVIRONMENTAL RESULTS: To develop, revise, & adopt enforcement tools and guidelines to ensure water quality is improved, protected, and maintained when implemented.			Include in quarterly reports to EPA: <ul style="list-style-type: none">• ordinance/code evaluation results• ordinance/code adoption Submit to EPA: <ul style="list-style-type: none">• new/revised ordinances/codes• draft dry well guidelines• final dry well guidelines	WQS TP AA E/H ATTY	0.12 .08 .06	\$19,000	
		10/01	9/30					
		10/01	9/30					
		10/01	9/30					
		10/01	3/30					
		6/1	9/30					

SAMPLE WORKPLAN –YEAR 3								
WATER POLLUTION CONTROL PROGRAM (CWA §106)								
Work Plan Goals with Tasks and Environmental Results			Dates Start End	Deliverables	Responsible Staff & Work Years		Estimated Cost *	Status
4	GOAL: Continue Tribal water quality staff’s training (internet, self-paced, or classroom) re: water quality & watersheds Task 3(a): Intro to Water Quality (www.nedc.nrcs.usda.gov) Task 3(b): Intro to Watershed Planning Process (www.epa.gov/watertrain) Task 3(c): Hydrology Training Series (www.nedc.nrcs.usda.gov) Task 3(d): EPA Water Quality Standards Academy ENVIRONMENTAL RESULT: To increase staff knowledge, as demonstrated by staff preparation of “training results” report and “on-the-job” implementation.		10/01 1/31 2/1 3/31 4/1 5/30 7/30	• Provide status & summary of training results in quarterly reports, along with dates, cost, & who participated	WQS	.08	\$4,000	
5	GOAL: Continue implementation of the water quality education & outreach program for the Tribal Community Task 5(a): hold student workshops Task 5(b): hold public outreach meetings Task 5(c): sponsor community river clean-up day Task 5(d): quarterly newsletter ENVIRONMENTAL RESULT: Changes in awareness and understanding of the status of water quality and related issues, and in an effort to promote & implement pollution prevention, as demonstrated by direct participation in workshops, meetings, etc., & results of clean-up efforts.		semi-annually semi-annually annually quarterly	• Include in quarterly reports a summary of public meetings, newsletter, workshops & other activities	WQS AA	0.12 0.04	\$8,000	
6	GOAL: Quarterly Reporting to self-evaluate & to joint-evaluate annual performance under the grant, including: • Status of each work plan goal, task, deliverable • Status of expenditures for reporting period • Summary of accomplishments including the reporting of environmental results & discussion of problems impacting or expected to impact performance • Tasks not on schedule & proposed dates of completion ENVIRONMENTAL RESULT: To evaluate and report on performance under the grant.		1/30 4/30 7/30 10/30	• Quarterly Reports submitted to EPA	WQS	0.02	\$750	
(AA) Administrative Assistant \$10/hr (TP) Environmental Planner (ATTY) Attorney \$20/hr					TOTAL		EPA	MATCH
(WQS) Water Quality Specialist \$15/hr (ATTY) Attorney \$100/hr					COST		\$55,000	\$2,895
(WQT) Water Quality Technician \$13/hr (H) Engineer/Hydrologist, Ph.D, \$100/hr								
This is a sample format only. Workplans may be prepared in either a chart or narrative format as long as the goals, tasks, environmental results, deliverables, target dates, estimated cost, & responsible staff are clearly identified.					*Reflects the totals of all Costs for each task , including salary, fringe, equipment, contractual, supplies, travel, indirect, etc.			

FORMULA
FOR DETERMINING RECIPIENT'S MATCH
(Based on Total Project Costs)



A. IF YOU KNOW THE TOTAL FEDERAL FUNDS AVAILABLE:

1. Divide the Total Federal Funds available by the maximum federal % allowed.
2. Subtract the amount of Total Federal Funds available in #1 from the amount derived from #2.
3. The amount derived from #3 is the MINIMUM NON-FEDERAL CONTRIBUTION (MATCH).

FOR EXAMPLE:



1. If the Federal funds available = \$100,000; and the recipient match is 20%.
2. Then the maximum Federal % = 80% or .80

$$\$100,000 \div .80 = \$125,000 \text{ (Total project cost)}$$
3. Then $\$125,000 - \$100,000 = \$25,000$
4. The minimum non-Federal contribution (20%) = \$25,000

B. IF YOU KNOW THE TOTAL PROJECT COSTS:

1. Multiply the Total Project Costs by the match % needed.
2. The total is your match amount.

FOR EXAMPLE:



If \$125,000 = Total Project Cost and you need 20% match

$$\$125,000 \times .20 = \$25,000 \text{ (Match)}$$

MATCHING FUNDS / COST SHARING

Tribes

The portion of allowable project costs the grant recipient or a third-party contributes to a grant/cooperative agreement.

TYPES OF MATCH	EXAMPLES
Cash	<ul style="list-style-type: none"> - Tribal personnel costs - Tribal travel - Tribal equipment - Money contributed by another organization/individual to the Tribe - Public Law 93-638 funds (Indian Self Determination Act)
In-Kind (Third-Party or Tribal)	<ul style="list-style-type: none"> - Personnel costs donated by another organization (not Tribal employees) - Services donated by another organization (not Tribe) - Volunteers (not Tribal employees) - Equipment donated by another organization (not Tribe) - Equipment donated by Tribe (non-federal)
<div style="border: 1px solid black; padding: 10px;"> <ul style="list-style-type: none"> ▪ <i>All match/cost sharing funds must be included in the workplan and budget and be part of the grant's Total Project Costs.</i> ▪ <i>All match/cost sharing funds must conform to the same laws, regulations, grant conditions, etc., as the federal funds within the grant.</i> ▪ <i>Dollar values must be placed on all donated services according to 40 CFR Part 31.24(b)(6-7).</i> </div>	

Items that **CANNOT** be used as match/cost share funds:

Other federal funds, except for Public Law 93-638 funds (Indian Self Determination Act).

Unallowable costs for the project/program.

POSSIBLE CWA§106 GRANT AMOUNTS * AND REQUIRED 5% MATCH AMOUNTS		
Possible Federal Assistance	Required Tribal Match	Total Project Cost
1) \$40,000	\$ 2,105	\$42,105
2) \$50,000	\$ 2,632	\$52,632
3) \$60,000	\$ 3,158	\$63,158
4) \$70,000	\$ 3,684	\$73,684
5) \$80,000	\$4,211	\$84,211
6) \$90,000	\$4,737	\$94,737
7) \$100,000	\$ 5,263.	\$105,263
* First-time eligible Tribes will receive Federal amounts of \$40,000.		

New Federal Grant Application Requirement as of October 1, 2003

A new requirement from the Office of Management and Budget (OMB) for grant applicants will take effect on October 1, 2003. **Grant applicants will be required to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements on or after October 1, 2003.**

OMB has determined that there is a need for improved statistical reporting of Federal grants and cooperative agreements. Use of the DUNS number government-wide will provide a means to identify entities receiving those awards and their business relationships. The identifier will be used for tracking purposes, and to validate address and point of contact information.

A DUNS number must be included in every application for a new award or renewal of an award, submitted on or after October 1, 2003.

A DUNS number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal (Grants.gov). The DUNS number will supplement other identifiers required by statute or regulation, such as tax identification numbers.

Organizations can receive a DUNS number in one day, at no cost, by calling the dedicated toll-free DUNS Number request line at 1-866-705- 5711. Individuals who would personally receive a grant or cooperative agreement award from the Federal government apart from any business or non-profit organization they may operate are exempt from this requirement.

The website where an organization can obtain a DUNS number is: <http://www.dnb.com>. This takes 30 business days and there is no cost unless the organization requests expedited (1-day) processing, which includes a fee of \$40.

A new revised version of the grant application form (SF-424) will include the DUNS number. It is expected that the new revised SF-424 will be available this fall and will be found at the following OMB web site: <http://www.whitehouse.gov/omb/grants/sf424.pdf>

The Federal Register / Vol. 68, No. 124 / Friday, June 27, 2003 Notice can be found at this link: http://www.whitehouse.gov/omb/grants/grants_docs.html

Websites - Grant Resources

Grant Information & Requirements (EPA & Federal)

EPA (Region 9) Homepage: <http://www.epa.gov/region09/>

- Click on "Grants" on Menu on the left, links to:
 - *Available grants, funding solicitations*
 - *Application forms (424A, certifications, etc.)*
 - *EPA Regulations (40 CFR, Parts 31 and 35 B, etc.)*
 - *OMB Circular A-87* (Circular that identifies allowable grant costs)
 - *OMB Circular A-133* (Single Audit Requirements)
 - *SF 269A and SF 270* (Forms: Financial Status Report & Request for Payment)

EPA (National) Grants Homepage: <http://www.epa.gov/ogd/>

Grants Administration Division links to:

- *National Programs, Information Sources, and Laws and Regulations*
- *National Funding Opportunities*
- *Suspension & Debarment List*
(Entities suspended/debarred from participating in federal grants and/or contracts)

EPA MBE/WBE Requirements: <http://www.epa.gov/osdbu/>

- *Minority Business & Women-Owned Business Enterprise requirements under grants*

Tribal Indirect Cost Rates

- Dept. Of Interior (National Business Center) <http://www.nbc.gov/icshome.ctm>
(Information on indirect cost proposals, DOI staff contact information, etc.)
- Dept. Of Health & Human Services (list of approved indirect cost rates)
<http://rates.psc.gov>

Data Universal Numbering System (DUNS) number: <http://www.dnb.com>

Catalog of Federal Domestic Assistance (CFDA): <http://www.cfda.gov>

-Government-wide compendium of all 1,454+ Federal programs, projects, services, and activities that provide grants to the American public.

CFDA for EPA Programs begins with 66. :

http://www.cfda.gov/public/browse_agy.asp?agy_id=66&st=1

Federal Government Pay Schedule:(To determine the maximum allowable daily rate for individual consultants.) <http://www.opm.gov/oca/payrates/index.htm>

Environmental Federal Register Documents: <http://www.epa.gov/fedrgstr/>

EPA's Information Collection Requirements (Paperwork Reduction Act):

<http://www.epa.gov/opperid1/>

TRIBAL INFORMATION

- * **Region 9 Tribal Programs:** http://www.epa.gov/region09/cross_pr/indian/index.html
- * **American Indian Environmental Office:** <http://www.epa.gov/indian/index.htm>